

TAB 41

TRUST AGREEMENT  
governing the  
DISABLED JOCKEYS FUND

AGREEMENT OF TRUST made as of July 1, 1991 between JOCKEYS' GUILD, INC., a New York corporation having its principal office at 250 Main Street, Suite 1820, Lexington, Kentucky 40507 (hereinafter called the "Guild"), as grantor, and BANK OF LEXINGTON & TRUST COMPANY, a Kentucky corporation having its principal place of business at Lexington Financial Center, 251 West Vine Street, Lexington, Kentucky 40507-1613, as trustee (such trustee, or any successor trustees acting hereunder, being hereinafter called the "Trustee").

W I T N E S S E T H :

WHEREAS the Guild is a not-for-profit corporation organized and operated for the purpose, among others, of furnishing voluntary financial aid to needy jockeys in the thoroughbred racing industry; and

WHEREAS the Guild is classified, for federal income tax purposes, as a social welfare organization to which contributions are not deductible as charitable contributions; and

WHEREAS many members of the general public wish to contribute toward the cost of caring for those jockeys who are disabled as a result of accidents incurred in the thoroughbred racing industry; and

WHEREAS the Board of Directors of the Guild wishes to establish a trust to which members of the general public can contribute and secure income tax deductions for their contributions; and

WHEREAS this Trust Agreement provides for the establishment of a committee (hereinafter called the "Committee") to advise the Trustee about the names and needs of disabled jockeys;

NOW, THEREFORE, the Guild hereby establishes a trust with the Trustee consisting of \$100, receipt of which the Trustee hereby acknowledges, and such other property as may from time to time be contributed to the trust by the general public, and the Trustee agrees to act as Trustee hereunder and to hold all property received by it as Trustee and any other property into which the same or any part thereof may from time to time be converted, together with any appreciation therein and income thereon (all such property being hereinafter called the "Trust Fund") IN TRUST, for the charitable purposes described herein and to invest and reinvest all such property and apply the same, after the payment of all necessary expenses, for the care of disabled jockeys upon the following terms and conditions:

ARTICLE FIRST  
NAME

The Trust Fund created hereby shall be known as the "DISABLED JOCKEYS FUND".

ARTICLE SECOND  
CONTRIBUTIONS

The Trustee shall accept any cash, and may accept any other property, which is tendered to it without restrictions as charitable contributions hereunder.

ARTICLE THIRD  
INVESTMENT OF FUNDS

The Trustee is authorized and empowered in its sole discretion to invest and reinvest that portion of the Trust Fund which is not required currently for charitable purposes in such securities or other property, real or personal, within or without the United States, as it shall deem proper, regardless of whether or not the same shall be of the kind commonly regarded by law as proper investments for trust funds. The Trustee may in its sole discretion keep all or any part of such portion of the Trust Fund in cash or cash balances as the Trustee may from time to time deem advisable and shall not be required to pay interest on any such cash or cash balances.

ARTICLE FOURTH  
DISTRIBUTIONS

The Trustee shall pay or apply all of the net income of the Trust Fund annually, and such portion of the principal of the Trust Fund from time to time as it deems appropriate, to or for the benefit of those jockeys, apprentice jockeys, former jockeys and former apprentice jockeys in the thoroughbred and quarter horse racing industry who have been injured in accidents in such

industry and who are permanently or temporarily disabled by reason of such injuries (hereinafter called "Disabled Jockeys"), and to or for the benefit of their families, in such amounts and upon such terms as the Trustee in its sole discretion shall determine applying the criteria in Article FIFTH hereof. In the exercise of its discretion, the Trustee may from time to time select the particular purposes for which such distributions are to be made, decide how such distributions are to be made, restrict the purposes for which a distribution is to be used, subsequently remove such restrictions and in general take such further action as it deems appropriate.

ARTICLE FIFTH  
CRITERIA

Distributions shall be made on an objective and nondiscriminatory basis. Distributions for the benefit of the Disabled Jockey shall be made primarily on the basis of need, but with due regard to the cost of the care or equipment required by his condition in relation to his resources. Distributions may be made, by way of example and not by way of limitation, to purchase equipment for the Disabled Jockey which will alleviate his medical condition (such as a hospital bed) or make it easier for him to move about (such as a wheelchair), to pay for surgery and transportation relating to surgery or medical care or to provide therapy or vocational training. Distributions may also be made to assist the Disabled Jockey and his family in times of financial hardship occasioned by his disability. No distribution

shall be made which would have the effect of reducing the amount to which the Disabled Jockey would otherwise be entitled under any public or private insurance policy or program.

ARTICLE SIXTH  
COMMITTEE

The Committee, acting through a majority of its members as from time to time constituted, shall advise the Trustee of the names and particular needs of Disabled Jockeys. All information furnished to the Trustee by the Committee shall be in writing, properly certified by a member thereof. The Trustee shall be fully protected in relying upon all such written advice received from the Committee and shall be under no obligation to determine whether such advice has in fact been properly given.

ARTICLE SEVENTH  
MEMBERSHIP OF COMMITTEE

The Committee shall consist of the President of the Guild, ex officio, and of such other individuals (who need not be members of the Guild), not in excess of four nor less than two, as shall have been designated by the Guild from time to time in written instruments that have been executed by the Guild, endorsed with the acceptance of the individuals designated therein and filed with the Trustee. The Guild shall have the power to remove any member of the Committee by advising such member in writing of his removal and filing a signed copy of such written advice with the Trustee. Any member of the Committee shall have the right to resign his membership upon giving ten days prior

written notice of resignation to the Guild and by sending a signed copy of such written notice to the Trustee. No member of the Committee shall be entitled to receive compensation for his services hereunder. No person shall incur any liability for his acts as a member of the Committee.

ARTICLE EIGHTH  
PROHIBITED ACTIVITIES

Notwithstanding any other provision of this Trust Agreement, the Trust shall not carry on any activities which may not be carried on (i) by an organization which is exempt from federal income tax under Section 501(c)(3) of the Internal Revenue Code of 1986, as amended (hereinafter called the "Code") or (ii) by an organization, contributions to which are deductible under Section 170(c)(2) of the Code. More particularly:

(a) No part of the net earnings of the Trust shall be permitted to inure to the benefit of any private individual having a personal and private interest in the activities of the Trust;

(b) No substantial part of the activities of the Trust shall be carrying on propaganda, or otherwise attempting to influence legislation (except as otherwise permitted by Section 501(h) of the Code); and

(c) The Trust shall not participate in, or intervene in (including the publishing or distributing of statements), any political campaign on behalf of (or in opposition to) any candidate for public office.

ARTICLE NINTH  
POWERS OF TRUSTEE

The Trustee is authorized and empowered to exercise from time to time in its absolute discretion and without prior authority from the Committee, the Guild, any court or any other person, all of the powers and discretions granted by law, and in addition thereto and not by way of limitation, the following powers in respect of any property, real or personal, in its possession hereunder, it being intended that these powers be construed in the broadest possible manner:

(a) Power to retain any securities or other property received as a contribution or in exchange for, or as a dividend or distribution with respect to, securities or property held by it.

(b) Power to sell any securities or other property held by it at public or private sale for cash or upon credit or partly for cash and partly upon credit and upon such terms and conditions as it shall deem proper. No purchaser shall be bound to see to or be liable for the application of the proceeds of any such sale.

(c) Power to exchange any securities or property held by it for other securities or property or partly for such securities or property and partly for cash, and to exercise conversion, subscription, option



and similar rights with respect to any securities held by it, and to make payments in connection therewith.

(d) Power to vote in person or by proxy at corporate or other meetings and to participate in or consent to any voting trust, reorganization, dissolution, merger or other action affecting any securities in its possession or the issuers thereof, and to make payments in connection therewith.

(e) Power to borrow in the name of the trust such sums for such periods and upon such terms as it shall deem necessary or convenient in the administration of the Trust Fund and to secure any such loan by mortgage or pledge. No lender shall be bound to see to or be liable for the application of the proceeds, and the Trustee shall not be personally liable, but each such loan shall be payable only out of assets of the Trust Fund. Any such loan may be made by a corporation which is also acting as Trustee hereunder at the prevailing rate of interest.

(f) Power to register any securities held for the Trust in its name, or in the name or names of one or more of its nominees, with or without indicating that it holds the same as Trustee, or to permit such securities to be deposited with or registered in the name of a clearing corporation or central depository regulated by the United States Securities and Exchange

Commission, or the nominees of either, or to be held in book-entry form at any Federal Reserve Bank or any such clearing corporation or central depository, and to permit the beneficial ownership of such securities by the Trust to be evidenced solely by its records and statements or those of its nominee, and by its security positions, or those of its nominee, with such clearing corporation, central depository or Federal Reserve Bank.

(g) Power to compromise and adjust all debts or claims due to or made against it.

(h) Power to make distributions in cash or in specific property, or an undivided interest therein, or partly in cash and partly in such property.

(i) Power to apply any property distributable to an infant to the maintenance and education of such infant or to pay or deliver the same to such infant or to a guardian or parent of such infant or to a custodian for such infant under the Uniform Gifts to Minors Act of any state, or to a person with whom such infant resides. The receipt of any such infant, guardian, parent, custodian or person shall be a full discharge for all property so applied.

(j) Power to retain counsel, employ agents and provide for such clerical, actuarial, accounting

and other services as may be required to carry out the provisions of this Trust Agreement.

ARTICLE TENTH  
ACCOUNTS

The Trustee shall maintain the accounts of the trust on the basis of a calendar year. It shall render to the Guild, at the close of each calendar year and at such other times (not exceeding twice in any fiscal year) as the Guild may direct, an account consisting of a statement of the assets of the trust at the close of the accounting period and a statement of the transactions of the trust since its last account. The Guild may approve such account by an instrument in writing delivered to the Trustee. In the absence of the filing with the Trustee by the Guild of exceptions or objections to any such account within sixty (60) days after it is received, the Guild shall be deemed to have so approved such account. In such case, or upon the written approval of the Guild of any such account, the Trustee shall be released, relieved and discharged from all liability to all persons then or thereafter interested in the Trust Fund with respect to all matters and things set forth in such account as though such account had been settled by the order or judgment of a court of competent jurisdiction. No person other than the Guild may require an account or bring any action against the Trustee with respect to the Trust Fund or its actions as Trustee, and except in the case of an action by the Guild, the Trustee

shall not be required to render any account, annually or otherwise, to any court.

ARTICLE ELEVENTH  
COMPENSATION AND EXPENSES OF TRUSTEE

The Trustee shall be entitled to receive such reasonable compensation for all services rendered hereunder as may be agreed upon from time to time between the Guild and the Trustee. Such compensation and all reasonable and proper expenses incurred in the administration of the Trust Fund, including but not limited to the charges and expenses of any agent employed by the Trustee, the fees and disbursements of any counsel retained by the Trustee, and all income and other taxes levied or assessed under existing or future laws against the Trust Fund or the Trustee in respect thereof, shall be paid out of the Trust Fund, and until so paid shall constitute a charge thereon. All payments under this Article may be made without the approval of the Committee or the Guild. Notwithstanding any other provision of this Trust Agreement, the Trustee shall not be required to defend any action or incur any expense unless it holds sufficient funds in the Trust Fund to pay the cost thereof or it is satisfied that such funds will be made available therefor.

ARTICLE TWELFTH  
LIABILITY OF TRUSTEE

Every action taken by the Trustee shall be presumed to be a fair and reasonable exercise of the powers vested in or of the duties imposed upon it. The Trustee shall be deemed to have

exercised reasonable care, diligence and prudence and to have acted impartially as to all persons unless the contrary be proved by affirmative evidence. The Trustee shall not be liable for losses arising from depreciation or shrinkage in the value of any property herein authorized to be held or acquired so long as it shall have been acting in good faith and without gross negligence. The Trustee shall be exempt from giving bond or other security in any jurisdiction.

ARTICLE THIRTEENTH  
SUCCESSOR TRUSTEE

The Trustee may resign at any time by giving written notice to the Guild. The Guild may remove the Trustee at any time by giving written notice to the Trustee. In the case of the resignation or removal of the Trustee, the Guild shall appoint a successor Trustee, which shall in every case be a corporation duly qualified to so act. Any Trustee who shall have resigned or been removed shall account to the Guild for the administration of the Trust Fund up to the date of its resignation or removal, in the manner provided in Article TENTH hereof, and upon the approval of such account and the acceptance by the successor Trustee of the trust, shall transfer and deliver to the successor Trustee all of the assets then constituting the Trust Fund. In the event of the resignation or removal of a Trustee, such Trustee shall receive the compensation to which it is entitled.

ARTICLE FOURTEENTH  
REVOCATION

This Trust Agreement may not be revoked.

ARTICLE FIFTEENTH  
AMENDMENTS

The Guild may amend this Trust Agreement at any time and from time to time by delivering to the Trustee an instrument of amendment executed and acknowledged in like manner as a deed to be recorded in the Commonwealth of Kentucky, but only to such extent as may be necessary to secure or maintain the status of the trust as an organization which is exempt from federal income tax by reason of Section 501(c)(3) of the Code and as an organization contributions to which are deductible under Section 170(c)(2) of the Code. Any amendment of the provisions presently set forth in this Paragraph, or in any further amendment of such provisions, shall be valid only if and to the extent that such amendment does not broaden the amending power of the Trustees. No amendment changing the duties or liabilities of the Trustee shall be effective unless the Trustee consents thereto in writing.

ARTICLE SIXTEENTH  
TERMINATION

The Guild may terminate this Trust Agreement and the trust hereby created at any time by delivering to the Trustee an instrument of termination executed and acknowledged in like manner as a deed to be recorded in the Commonwealth of Kentucky.

UPON-01-2002 10-04 000000 000000 000000

Upon the termination of the trust, the Trustee, after paying all its proper expenses in administering and closing out the Trust Fund and paying itself any compensation to which it may be entitled, shall distribute the Trust Fund to and among such organizations which are described in Section 501(c)(3) of the Code and to which contributions are deductible under Section 170(c)(2) of the Code as the Trustee in its sole discretion shall select.

ARTICLE SEVENTEENTH  
NOTICES

Any notice, account or document that either party is required or permitted to give the other party shall be deemed to have been given if mailed to the other party at the address of such other party first above written, unless such other party shall have designated some other address for this purpose in a notice given in accordance with this Article, in which case the same shall be deemed to have been given if mailed to such other address.

ARTICLE EIGHTEENTH  
SUCCESSORS AND ASSIGNS

This Trust Agreement shall be binding upon the respective successors and assigns of the Guild and the Trustee. Any corporation which shall, by merger consolidation, purchase or otherwise, succeed to substantially all the personal trust business of the Trustee, shall, upon such succession and without

any appointment or other action by any person, be and become successor Trustee hereunder.

ARTICLE NINETEENTH  
GOVERNING LAW

This Trust Agreement shall be construed in accordance with, and the trust hereby created shall be governed by, the laws of the Commonwealth of Kentucky. In the event of any conflict between the text of any provision of this Trust Agreement and the heading thereof, the text shall be controlling.

IN WITNESS WHEREOF, the Guild and the Trustee have executed this instrument as of the day and year first above written.

JOCKEYS' GUILD, INC.

(Corporate Seal)

ATTEST:

*John C. ...*  
SECRETARY

By

*James B. ...*  
PRESIDENT

BANK OF LEXINGTON & TRUST COMPANY  
as Trustee

(Corporate Seal)

ATTEST:

*Anders Merick*

By

*Bayly King*



STATE OF  
COUNTY OF

)  
:  
: SS.:  
)

LORRAINE R. AIELLO  
Notary Public, State of New York  
No. 30-4692095  
Qualified in Nassau County  
Commission Expires 3-30-93

On the 21 day of August, 1991, before me  
personally came TERRY BAILEY, to me known, who,  
being by me duly sworn, did depose and say that he resides at No.

; that he is

of JOCKEYS' GUILD, INC., the corporation de-  
scribed in and which executed the foregoing instrument; that he  
knows the seal of said corporation; that the seal affixed to said  
instrument is such corporate seal; that it was so affixed by  
order of the Board of Directors, and he signed his name thereto  
by like order.

Lorraine R. Aiello  
Notary Public

STATE OF KENTUCKY       )  
                              : ss.:  
COUNTY OF FAYETTE     )

The foregoing instrument was acknowledged before me  
this 25<sup>th</sup> day of September, 1991, by BARRY HICKY  
Asst. Vice President & Trust Officer (name and title), of BANK OF  
LEXINGTON & TRUST COMPANY, a Kentucky corporation, on behalf of  
the corporation.

My commission expires 6/26/95

Sandra Merrill  
Notary Public

TAB 42

**Disabled Jockeys' Fund**  
**Interanal Revenue Service Form 990**  
**Return of an Organization Exempt from Income Tax**  
**Summary 1997 thru 2002**

Year	2002	2001	2000	1999	1998	1997
Fund Balance beginning of year	\$ 1,327,083	\$ 1,215,424	\$ 1,011,703	\$ 819,183	\$ 547,087	\$ 431,956
Revenue						
Contributions	\$ 4,100	\$ 195,127	\$ 259,680	\$ 190,064	\$ 180,997	\$ 89,303
Interest, dividends, & gains	\$ 92,553	\$ 92,478	\$ 113,827	\$ 53,478	\$ 166,749	\$ 62,377
Total Revenue	\$ 96,653	\$ 287,605	\$ 373,507	\$ 243,542	\$ 347,746	\$ 151,680
Expenses						
Program Services	\$ 835,815	\$ 168,753	\$ 225,411	\$ 105,376	\$ 80,637	\$ 32,898
Management and general	\$ 14,359	\$ 25,478	\$ 22,661	\$ 27,987	\$ 34,586	\$ 81,824
Total Expenses	\$ 850,174	\$ 194,231	\$ 248,072	\$ 133,363	\$ 115,223	\$ 114,722
Excess or (deficit) for year	\$ (753,521)	\$ 93,374	\$ 125,435	\$ 110,179	\$ 232,523	\$ 36,958
Unrealized gain or (loss) on investments	\$ (132,674)	\$ 18,285	\$ 78,286	\$ 82,341	\$ 39,573	\$ 409
Fund Balance end of year	\$ 440,888	\$ 1,327,083	\$ 1,215,424	\$ 1,011,703	\$ 819,183	\$ 469,323
Fund gain or loss by percentage	-66.8%	9.2%	20.1%	23.5%	74.5%	

TAB 43

Form **990**Department of the Treasury  
Internal Revenue Service**Return of Organization Exempt From Income Tax**Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except black lung  
benefit trust or private foundation)

▶ The organization may have to use a copy of this return to satisfy state reporting requirements

OMB No 1545-0047

**2001**Open to Public  
Inspection

A For the 2001 calendar year, or tax year period beginning

and ending

B Check if  
applicable:

- ☐ Address  
change
- ☐ Name  
change
- ☐ Initial  
return
- ☐ Final  
return
- ☐ Amended  
return
- ☐ Application  
pending

Please  
use IRS  
label or  
print or  
type.  
See  
Specific  
Instruc-  
tions

C Name of organization

**DISABLED JOCKEYS FUND  
C/O VINE STREET TRUST COMPANY**

D Employer identification number

**[REDACTED]**

Number and street (or P.O. box if mail is not delivered to street address)

Room/suite

E Telephone number

**360 EAST VINE STREET****(859) 281-2120**

City or town, state or country, and ZIP + 4

**LEXINGTON, KY 40507-1514**F Accounting method ☒ Cash ☐ Accrual  
☐ Other (specify) ▶• Section 501(c)(3) organizations and 4947(a)(1) nonexempt charitable trusts  
must attach a completed Schedule A (Form 990 or 990-EZ)

H and I are not applicable to section 527 organizations

H(a) Is this a group return for affiliates? ☐ Yes ☒ No

H(b) If "Yes," enter number of affiliates ▶

H(c) Are all affiliates included? **N/A** ☐ Yes ☐ No  
(If "No," attach a list)H(d) Is this a separate return filed by an or-  
ganization covered by a group ruling? ☐ Yes ☒ No

I Enter 4-digit GEN ▶

M Check ☐ if the organization is not required to attach  
Sch. B (Form 990, 990-EZ, or 990-PF)G Web site ▶ **N/A**J Organization type (check one) ☒ 501(c) ( 3 ) (insert no) ☐ 4947(a)(1) or ☐ 527K Check here ☐ if the organization's gross receipts are normally not more than \$25,000. The  
organization need not file a return with the IRS, but if the organization received a Form 990 Package  
in the mail, it should file a return without financial data. Some states require a complete return.

L Gross receipts. Add lines 6b, 8b, 9b, and 10b to line 12 ▶

**390,167.****Part I Revenue, Expenses, and Changes in Net Assets or Fund Balances**Revenue  
SCANNED JUL 11 2002

1	Contributions, gifts, grants, and similar amounts received	1a	195,127.	1d	195,127.
a	Direct public support	1b		2	
b	Indirect public support	1c		3	
c	Government contributions (grants)			4	3,925.
d	Total (add lines 1a through 1c)			5	39,843.
	(cash \$ 195,127. noncash \$ )			6a	
2	Program service revenue including government fees and contracts (from Part VII, line 93)	6b		6c	
3	Membership dues and assessments			7	
4	Interest on savings and temporary cash investments				
5	Dividends and interest from securities				
6a	Gross rents				
b	Less: rental expenses				
c	Net rental income or (loss) (subtract line 6b from line 6a)				
7	Other investment income (describe ▶ )				
8a	Gross amount from sale of assets other than inventory	(A) Securities			
		149,962.	8a		
b	Less: cost or other basis and sales expenses	102,562.	8b		
c	Gain or (loss) (attach schedule)	47,400.	8c		
d	Net gain or (loss) (combine line 8c, columns (A) and (B))	STMT 1		8d	47,400.
9	Special events and activities (attach schedule)				
a	Gross revenue (not including \$ of contributions reported on line 1a)	9a			
	Less: direct expenses other than fundraising expenses	9b			
	Net income or (loss) from special events (subtract line 9b from line 9a)			9c	
10	Gross sales of inventory, less returns and allowances	10a			
	Less: cost of goods sold	10b			
	Gross profit or (loss) from sales of inventory (attach schedule) (subtract line 10b from line 10a)			10c	
	Other revenue (from Part VII, line 103)			11	1,310.
	Total revenue (add lines 1d, 2, 3, 4, 5, 6c, 7, 8d, 9c, 10c, and 11)			12	287,605.
13	Program services (from line 44, column (B))			13	168,753.
14	Management and general (from line 44, column (C))			14	25,478.
15	Fundraising (from line 44, column (D))			15	
16	Payments to affiliates (attach schedule)			16	
17	Total expenses (add lines 13 and 14, column (A))			17	194,231.
18	Excess or (deficit) for the year (subtract line 17 from line 12)			18	93,374.
19	Net assets or fund balances at beginning of year (from line 73, column (A))			19	1,215,424.
20	Other changes in net assets or fund balances (attach explanation)			20	18,285.
21	Net assets or fund balances at end of year (combine lines 18, 19, and 20)			21	1,327,083.

SEE STATEMENT 2

123001  
01-04-02

LHA For Paperwork Reduction Act Notice, see the separate instructions.

Form 990 (2001)

JUL 0 2 2002  
OGDEN, UT

**DISABLED JOCKEYS FUND**  
**C/O VINE STREET TRUST COMPANY**

Form 990 (2001)

Page 2

Part II Statement of Functional Expenses		All organizations must complete column (A). Columns (B), (C), and (D) are required for section 501(c)(3) and (4) organizations and section 4947(a)(1) nonexempt charitable trusts but optional for others			
Do not include amounts reported on line 6b, 8b, 9b, 10b, or 16 of Part I		(A) Total	(B) Program services	(C) Management and general	(D) Fundraising
22	Grants and allocations (attach schedule)				
	cash \$ _____ noncash \$ _____				
23	Specific assistance to individuals (attach schedule)	168,753.	168,753.	STATEMENT 4	
24	Benefits paid to or for members (attach schedule)				
25	Compensation of officers, directors, etc	11,061.	0.	11,061.	0.
26	Other salaries and wages				
27	Pension plan contributions				
28	Other employee benefits				
29	Payroll taxes				
30	Professional fundraising fees				
31	Accounting fees	9,000.		9,000.	
32	Legal fees	4,712.		4,712.	
33	Supplies				
34	Telephone				
35	Postage and shipping				
36	Occupancy				
37	Equipment rental and maintenance				
38	Printing and publications				
39	Travel				
40	Conferences, conventions, and meetings				
41	Interest				
42	Depreciation, depletion, etc (attach schedule)				
43	Other expenses not covered above (itemize)				
	a STATE FEES &				
	b REGISTRATIONS	705.		705.	
	c _____				
	d _____				
	e _____				
44	Total functional expenses (add lines 22 through 43) Organizations completing columns (B)-(D) carry these totals to lines 13-15	194,231.	168,753.	25,478.	0.

Joint Costs: Check ☐ if you are following SOP 98-2

Are any joint costs from a combined educational campaign and fundraising solicitation reported in (B) Program services? ☐ Yes ☒ No

If "Yes," enter (i) the aggregate amount of these joint costs \$ \_\_\_\_\_, (ii) the amount allocated to Program services \$ \_\_\_\_\_, (iii) the amount allocated to Management and general \$ \_\_\_\_\_, and (iv) the amount allocated to Fundraising \$ \_\_\_\_\_

Part III Statement of Program Service Accomplishments		Program Service Expenses (Required for 501(c)(3) and (4) orgs and 4947(a)(1) trusts but optional for others.)
What is the organization's primary exempt purpose? <b>SEE STATEMENT 3</b>		
All organizations must describe their exempt purpose achievements in a clear and concise manner. State the number of clients served, publications issued, etc. Discuss achievements that are not measurable. (Section 501(c)(3) and (4) organizations and 4947(a)(1) nonexempt charitable trusts must also enter the amount of grants and allocations to others.)		
a	DISTRIBUTIONS MADE TO JOCKEYS WHO ARE PERMANENTLY OR TEMPORARILY DISABLED.	
	(Grants and allocations \$ 168,753.)	168,753.
b		
	(Grants and allocations \$ _____)	
c		
	(Grants and allocations \$ _____)	
d		
	(Grants and allocations \$ _____)	
e	Other program services (attach schedule)	(Grants and allocations \$ _____)
f	Total of Program Service Expenses (should equal line 44, column (B) Program services)	168,753.

**DISABLED JOCKEYS FUND  
C/O VINE STREET TRUST COMPANY**

Form 990 (2001)

Page 3

**Part IV Balance Sheets**

Note: Where required, attached schedules and amounts within the description column should be for end-of-year amounts only

		(A) Beginning of year		(B) End of year
<b>Assets</b>	45 Cash - non-interest-bearing	198.	45	745.
	46 Savings and temporary cash investments	279,385.	46	423,402.
	47 a Accounts receivable		47a	
	b Less: allowance for doubtful accounts		47b	47c
	48 a Pledges receivable		48a	
	b Less: allowance for doubtful accounts		48b	48c
	49 Grants receivable		49	
	50 Receivables from officers, directors, trustees, and key employees		50	
	51 a Other notes and loans receivable		51a	
	b Less: allowance for doubtful accounts		51b	51c
	52 Inventories for sale or use		52	
	53 Prepaid expenses and deferred charges		53	
	54 Investments - securities	<input type="checkbox"/> Cost <input type="checkbox"/> FMV	54	
	55 a Investments - land, buildings and equipment basis		55a	
	b Less: accumulated depreciation		55b	55c
56 Investments - other	SEE STATEMENT 5	935,841.	56	902,936.
57 a Land, buildings, and equipment basis		57a		
b Less: accumulated depreciation		57b	57c	
58 Other assets (describe: _____)		58		
59 Total assets (add lines 45 through 58) (must equal line 74)		1,215,424.	59	1,327,083.
<b>Liabilities</b>	60 Accounts payable and accrued expenses		60	
	61 Grants payable		61	
	62 Deferred revenue		62	
	63 Loans from officers, directors, trustees, and key employees		63	
	64 a Tax-exempt bond liabilities		64a	
	b Mortgages and other notes payable		64b	
	65 Other liabilities (describe: _____)		65	
66 Total liabilities (add lines 60 through 65)		0.	66	0.
<b>Net Assets or Fund Balances</b>	Organizations that follow SFAS 117, check here <input checked="" type="checkbox"/> and complete lines 67 through 69 and lines 73 and 74			
	67 Unrestricted	1,215,424.	67	1,327,083.
	68 Temporarily restricted		68	
	69 Permanently restricted		69	
	Organizations that do not follow SFAS 117, check here <input type="checkbox"/> and complete lines 70 through 74			
	70 Capital stock, trust principal, or current funds		70	
	71 Paid-in or capital surplus or land, building, and equipment fund		71	
	72 Retained earnings, endowment, accumulated income, or other funds		72	
	73 Total net assets or fund balances (add lines 67 through 69 OR lines 70 through 72, column (A) must equal line 19, column (B) must equal line 21)	1,215,424.	73	1,327,083.
	74 Total liabilities and net assets / fund balances (add lines 66 and 73)	1,215,424.	74	1,327,083.

Form 990 is available for public inspection and, for some people, serves as the primary or sole source of information about a particular organization. How the public perceives an organization in such cases may be determined by the information presented on its return. Therefore, please make sure the return is complete and accurate and fully describes, in Part III, the organization's programs and accomplishments.



## Form 990 (2001)

Page 4

<b>Part IV-B</b>	<b>Reconciliation of Expenses per Audited Financial Statements With Expenses per Return</b>
------------------	---

<b>a</b>	Total expenses and losses per audited financial statements	<b>a</b>	204,977.
<b>b</b>	Amounts included on line a but not on line 17, Form 990		
(1)	Donated services and use of facilities \$ _____		
(2)	Prior year adjustments reported on line 20, Form 990 \$ _____		
(3)	Losses reported on line 20, Form 990 \$ _____		
(4)	Other (specify) <b>STMT 7</b> \$ <b>10,746.</b>		
	Add amounts on lines (1) through (4)	<b>b</b>	10,746.
<b>c</b>	Line a minus line b	<b>c</b>	194,231.
<b>d</b>	Amounts included on line 17, Form 990 but not on line a		
(1)	Investment expenses not included on line 6b, Form 990 \$ _____		
(2)	Other (specify) \$ _____		
	Add amounts on lines (1) and (2)	<b>d</b>	0.
<b>e</b>	Total expenses per line 17, Form 990 (line c plus line d)	<b>e</b>	194,231.

[illegible]

Form 990 (2001)

**DISABLED JOCKEYS FUND  
C/O VINE STREET TRUST COMPANY**

Form 990 (2001)

Page 5

Part VI Other Information		Yes	No
76	Did the organization engage in any activity not previously reported to the IRS? If "Yes," attach a detailed description of each activity	76	X
77	Were any changes made in the organizing or governing documents but not reported to the IRS? If "Yes," attach a conformed copy of the changes	77	X
78 a	Did the organization have unrelated business gross income of \$1,000 or more during the year covered by this return?	78a	X
b	If "Yes," has it filed a tax return on Form 990-T for this year? <span style="float: right;">N/A</span>	78b	
79	Was there a liquidation, dissolution, termination, or substantial contraction during the year? If "Yes," attach a statement	79	X
80 a	Is the organization related (other than by association with a statewide or nationwide organization) through common membership, governing bodies, trustees, officers, etc., to any other exempt or nonexempt organization?	80a	X
b	If "Yes," enter the name of the organization <b>JOCKEYS' GUILD, INC.</b> and check whether it is <input checked="" type="checkbox"/> exempt OR <input type="checkbox"/> nonexempt		
81 a	Enter direct or indirect political expenditures. See line 81 instructions	81a	0.
b	Did the organization file Form 1120-POL for this year?	81b	X
82 a	Did the organization receive donated services or the use of materials, equipment, or facilities at no charge or at substantially less than fair rental value?	82a	X
b	If "Yes," you may indicate the value of these items here. Do not include this amount as revenue in Part I or as an expense in Part II. (See instructions in Part III)	82b	N/A
83 a	Did the organization comply with the public inspection requirements for returns and exemption applications?	83a	X
b	Did the organization comply with the disclosure requirements relating to quid pro quo contributions?	83b	X
84 a	Did the organization solicit any contributions or gifts that were not tax deductible?	84a	
b	If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?	84b	
85	501(c)(4), (5), or (6) organizations a Were substantially all dues nondeductible by members?	85a	
b	Did the organization make only in-house lobbying expenditures of \$2,000 or less? If "Yes" was answered to either 85a or 85b, do not complete 85c through 85h unless the organization received a waiver for proxy tax owed for the prior year	85b	
c	Dues, assessments, and similar amounts from members	85c	N/A
d	Section 162(e) lobbying and political expenditures	85d	N/A
e	Aggregate nondeductible amount of section 6033(e)(1)(A) dues notices	85e	N/A
f	Taxable amount of lobbying and political expenditures (line 85d less 85e)	85f	N/A
g	Does the organization elect to pay the section 6033(e) tax on the amount in 85f?	85g	
h	If section 6033(e)(1)(A) dues notices were sent, does the organization agree to add the amount in 85f to its reasonable estimate of dues allocable to nondeductible lobbying and political expenditures for the following tax year?	85h	
86	501(c)(7) organizations Enter a Initiation fees and capital contributions included on line 12	86a	N/A
b	Gross receipts, included on line 12, for public use of club facilities	86b	N/A
87	501(c)(12) organizations Enter a Gross income from members or shareholders	87a	N/A
b	Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them)	87b	N/A
88	At any time during the year did the organization own a 50% or greater interest in a taxable corporation or partnership, or an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? If "Yes," complete Part IX	88	X
89 a	501(c)(3) organizations Enter Amount of tax imposed on the organization during the year under section 4911 <u>0.</u> , section 4912 <u>0.</u> , section 4955 <u>0.</u>		
b	501(c)(3) and 501(c)(4) organizations Did the organization engage in any section 4958 excess benefit transaction during the year or did it become aware of an excess benefit transaction from a prior year? If "Yes," attach a statement explaining each transaction	89b	X
c	Enter Amount of tax imposed on the organization managers or disqualified persons during the year under sections 4912, 4955, and 4958		0.
d	Enter Amount of tax on line 89c, above, reimbursed by the organization		0.
90 a	List the states with which a copy of this return is filed <b>SEE STATEMENT 9</b>		
b	Number of employees employed in the pay period that includes March 12, 2001	90b	0

91 The books are in care of **VINE STREET TRUST COMPANY** Telephone no **859-281-2120**

Located at **360 EAST VINE STREET LEXINGTON, KY** ZIP + 4 **40507-1514**

92 Section 4947(a)(1) nonexempt charitable trusts filing Form 990 in lieu of Form 1041 Check here ☐  
and enter the amount of tax-exempt interest received or accrued during the tax year 92 0.

## Form 990 (2001)

**Note** Enter gross amounts unless otherwise indicated

**Note** Line 105 plus line 1d, Part I, should equal the amount on line 12, Part I.

Line No ▼	Explain how each activity for which income is reported in column (E) of Part VII contributed importantly to the accomplishment of the organization's exempt purposes (other than by providing funds for such purposes)
--------------	--

(A) Name, address, and EIN of corporation, partnership, or disregarded entity	(B) Percentage of ownership interest	(C) Nature of activities	(D) Total income	(E) End-of-year assets
	%			
N/A	%			
	%			
	%			

☐ Yes ☒ No

accompanying schedules and statements and to the best of my knowledge and belief it is true,  
information of which preparer has any knowledge.

**SCHEDULE A**  
(Form 990 or 990-EZ)

Department of the Treasury  
Internal Revenue Service

**Organization Exempt Under Section 501(c)(3)**

(Except Private Foundation) and Section 501(e), 501(f), 501(k),  
501(n), or Section 4947(a)(1) Nonexempt Charitable Trust

**Supplementary Information—(See separate instructions.)**

▶ **MUST be completed by the above organizations and attached to their Form 990 or 990-EZ**

OMB No 1545-0047

**2001**

Name of the organization **DISABLED JOCKEYS FUND**  
**C/O VINE STREET TRUST COMPANY**

Employer identification number

**Part I Compensation of the Five Highest Paid Employees Other Than Officers, Directors, and Trustees**

(See page 1 of the instructions. List each one. If there are none, enter "None.")

(a) Name and address of each employee paid more than \$50,000	(b) Title and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans & deferred compensation	(e) Expense account and other allowances
NONE				
Total number of other employees paid over \$50,000	0			

**Part II Compensation of the Five Highest Paid Independent Contractors for Professional Services**

(See page 2 of the instructions. List each one (whether individuals or firms). If there are none, enter "None.")

(a) Name and address of each independent contractor paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		
Total number of others receiving over \$50,000 for professional services	0	

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990 and Form 990-EZ

Schedule A (Form 990 or 990-EZ) 2001

**DISABLED JOCKEYS FUND**

Schedule A (Form 990 or 990-EZ) 2001 **C/O VINE STREET TRUST COMPANY**

Page **2**

**Part III Statements About Activities** (See page 2 of the instructions)

	Yes	No
1 During the year, has the organization attempted to influence national, state, or local legislation, including any attempt to influence public opinion on a legislative matter or referendum? If "Yes," enter the total expenses paid or incurred in connection with the lobbying activities <b>\$</b> _____ <b>\$</b> _____ (Must equal amounts on line 38, Part VI-A, or line 1 of Part VI-B )	1	X
Organizations that made an election under section 501(h) by filing Form 5768 must complete Part VI-A. Other organizations checking "Yes," must complete Part VI-B AND attach a statement giving a detailed description of the lobbying activities.		
2 During the year, has the organization, either directly or indirectly, engaged in any of the following acts with any substantial contributors, trustees, directors, officers, creators, key employees, or members of their families, or with any taxable organization with which any such person is affiliated as an officer, director, trustee, majority owner, or principal beneficiary? (If the answer to any question is "Yes," attach a detailed statement explaining the transactions.)		
a Sale, exchange, or leasing of property?	2a	X
b Lending of money or other extension of credit?	2b	X
c Furnishing of goods, services, or facilities?	2c	X
d Payment of compensation (or payment or reimbursement of expenses if more than \$1,000)?	2d	X
e Transfer of any part of its income or assets?	2e	X
3 Does the organization make grants for scholarships, fellowships, student loans, etc.? (See Note below.)	3	X
4 Do you have a section 403(b) annuity plan for your employees?	4	X
<b>Note.</b> Attach a statement to explain how the organization determines that individuals or organizations receiving grants or loans from it in furtherance of its charitable programs "qualify" to receive payments.		

**Part IV Reason for Non-Private Foundation Status** (See pages 3 through 6 of the instructions)

The organization is not a private foundation because it is: (Please check only ONE applicable box.)

- 5 ☐ A church, convention of churches, or association of churches. Section 170(b)(1)(A)(i).
- 6 ☐ A school. Section 170(b)(1)(A)(ii). (Also complete Part V.)
- 7 ☐ A hospital or a cooperative hospital service organization. Section 170(b)(1)(A)(iii).
- 8 ☐ A Federal, state, or local government or governmental unit. Section 170(b)(1)(A)(v).
- 9 ☐ A medical research organization operated in conjunction with a hospital. Section 170(b)(1)(A)(iii). Enter the hospital's name, city, and state: \_\_\_\_\_
- 10 ☐ An organization operated for the benefit of a college or university owned or operated by a governmental unit. Section 170(b)(1)(A)(iv). (Also complete the Support Schedule in Part IV-A.)
- 11a ☒ An organization that normally receives a substantial part of its support from a governmental unit or from the general public. Section 170(b)(1)(A)(vi). (Also complete the Support Schedule in Part IV-A.)
- 11b ☐ A community trust. Section 170(b)(1)(A)(vi). (Also complete the Support Schedule in Part IV-A.)
- 12 ☐ An organization that normally receives (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its charitable, etc., functions - subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See section 509(a)(2). (Also complete the Support Schedule in Part IV-A.)
- 13 ☐ An organization that is not controlled by any disqualified persons (other than foundation managers) and supports organizations described in (1) lines 5 through 12 above, or (2) section 501(c)(4), (5), or (6), if they meet the test of section 509(a)(2). (See section 509(a)(3).)

Provide the following information about the supported organizations. (See page 5 of the instructions.)

(a) Name(s) of supported organization(s)	(b) Line number from above

- 14 ☐ An organization organized and operated to test for public safety. Section 509(a)(4). (See page 6 of the instructions.)

Schedule A (Form 990 or 990-EZ) 2001

# DISABLED JOCKEYS FUND

Schedule A (Form 990 or 990-EZ) 2001 C/O VINE STREET TRUST COMPANY

Page 3

## **Part IV-A** Support Schedule (Complete only if you checked a box on line 10, 11, or 12) Use cash method of accounting Note You may use the worksheet in the instructions for converting from the accrual to the cash method of accounting

Calendar year (or fiscal year beginning in)	(a) 2000	(b) 1999	(c) 1998	(d) 1997	(e) Total
15 Gifts, grants, and contributions received (Do not include unusual grants. See line 28.)	263,910.	190,064.	62,932.	89,303.	606,209.
16 Membership fees received					
17 Gross receipts from admissions, merchandise sold or services performed, or furnishing of facilities in any activity that is related to the organization's charitable, etc., purpose	14,341.				14,341.
18 Gross income from interest, dividends, amounts received from payments on securities loans (section 512(a)(5)), rents, royalties, and unrelated business taxable income (less section 511 taxes) from businesses acquired by the organization after June 30, 1975	42,006.	34,938.	23,784.	33,059.	133,787.
19 Net income from unrelated business activities not included in line 18					
20 Tax revenues levied for the organization's benefit and either paid to it or expended on its behalf					
21 The value of services or facilities furnished to the organization by a governmental unit without charge. Do not include the value of services or facilities generally furnished to the public without charge.					
22 Other income. Attach a schedule. Do not include gain or (loss) from sale of capital assets			90.		90.
23 Total of lines 15 through 22	320,257.	225,002.	86,806.	122,362.	754,427.
24 Line 23 minus line 17	305,916.	225,002.	86,806.	122,362.	740,086.
25 Enter 1% of line 23	3,203.	2,250.	868.	1,224.	
26 Organizations described on lines 10 or 11 a Enter 2% of amount in column (e), line 24					14,802.
b Prepare a list for your records to show the name of and amount contributed by each person (other than a governmental unit or publicly supported organization) whose total gifts for 1997 through 2000 exceeded the amount shown in line 26a. Do not file this list with your return. Enter the total of all these excess amounts					247,679.
c Total support for section 509(a)(1) test. Enter line 24, column (e)					740,086.
d Add: Amounts from column (e) for lines 18 133,787. 19 247,679. 22 90.					381,556.
e Public support (line 26c minus line 26d total)					358,530.
f Public support percentage (line 26e (numerator) divided by line 26c (denominator))					48.4444%
27 Organizations described on line 12 a For amounts included in lines 15, 16, and 17 that were received from a "disqualified person," prepare a list for your records to show the name of, and total amounts received in each year from, each "disqualified person." Do not file this list with your return. Enter the sum of such amounts for each year N/A					
b For any amount included in line 17 that was received from each person (other than "disqualified persons") prepare a list for your records to show the name of, and amount received for each year, that was more than the larger of (1) the amount on line 25 for the year or (2) \$5,000. (Include in the list organizations described in lines 5 through 11, as well as individuals.) Do not file this list with your return. After computing the difference between the amount received and the larger amount described in (1) or (2), enter the sum of these differences (the excess amounts) for each year N/A					
c Add: Amounts from column (e) for lines 15 16 17 20 and line 27b total					N/A
d Add: Line 27c total					N/A
e Public support (line 27c total minus line 27d total)					N/A
f Total support for section 509(a)(2) test. Enter amount on line 23, column (e)					N/A
g Public support percentage (line 27e (numerator) divided by line 27f (denominator))					N/A %
h Investment income percentage (line 18, column (e) (numerator) divided by line 27f (denominator))					N/A %
28 Unusual Grants For an organization described in line 10, 11, or 12, that received any unusual grants during 1997 through 2000, prepare a list for your records to show, for each year, the name of the contributor, the date and amount of the grant, and a brief description of the nature of the grant. Do not file this list with your return. Do not include these grants in line 15					

# DISABLED JOCKEYS FUND

Schedule A (Form 990 or 990-EZ) 2001 C/O VINE STREET TRUST COMPANY

Page 4

## **Part V** Private School Questionnaire (See page 7 of the instructions)

N/A

(To be completed ONLY by schools that checked the box on line 6 in Part IV)

	Yes	No
29 Does the organization have a racially nondiscriminatory policy toward students by statement in its charter, bylaws, other governing instrument, or in a resolution of its governing body?		
30 Does the organization include a statement of its racially nondiscriminatory policy toward students in all its brochures, catalogues, and other written communications with the public dealing with student admissions, programs, and scholarships?		
31 Has the organization publicized its racially nondiscriminatory policy through newspaper or broadcast media during the period of solicitation for students or during the registration period if it has no solicitation program, in a way that makes the policy known to all parts of the general community it serves? If "Yes," please describe, if "No," please explain. (If you need more space, attach a separate statement.)		
32 Does the organization maintain the following:		
a Records indicating the racial composition of the student body, faculty, and administrative staff?		
b Records documenting that scholarships and other financial assistance are awarded on a racially nondiscriminatory basis?		
c Copies of all catalogues, brochures, announcements, and other written communications to the public dealing with student admissions, programs, and scholarships?		
d Copies of all material used by the organization or on its behalf to solicit contributions? If you answered "No" to any of the above, please explain. (If you need more space, attach a separate statement.)		
33 Does the organization discriminate by race in any way with respect to:		
a Students' rights or privileges?		
b Admissions policies?		
c Employment of faculty or administrative staff?		
d Scholarships or other financial assistance?		
e Educational policies?		
f Use of facilities?		
g Athletic programs?		
h Other extracurricular activities? If you answered "Yes" to any of the above, please explain. (If you need more space, attach a separate statement.)		
34 a Does the organization receive any financial aid or assistance from a governmental agency?		
b Has the organization's right to such aid ever been revoked or suspended? If you answered "Yes" to either 34a or b, please explain using an attached statement.		
35 Does the organization certify that it has complied with the applicable requirements of sections 4.01 through 4.05 of Rev. Proc. 75-50, 1975-2 C.B. 587, covering racial nondiscrimination? If "No," attach an explanation.		

Schedule A (Form 990 or 990-EZ) 2001

# DISABLED JOCKEYS FUND

Schedule A (Form 990 or 990-EZ) 2001 C/O VINE STREET TRUST COMPANY

Page 5

## **Part VI-A** Lobbying Expenditures by Electing Public Charities (See page 9 of the instructions)

N/A

(To be completed ONLY by an eligible organization that filed Form 5768)

Check ☒ a if the organization belongs to an affiliated group Check ☐ b if you checked "a" and "limited control" provisions apply

### **Limits on Lobbying Expenditures**

(The term "expenditures" means amounts paid or incurred)

(a)  
Affiliated group  
totals

(b)  
To be completed for ALL  
electing organizations

N/A

36 Total lobbying expenditures to influence public opinion (grassroots lobbying)

36

37 Total lobbying expenditures to influence a legislative body (direct lobbying)

37

38 Total lobbying expenditures (add lines 36 and 37)

38

39 Other exempt purpose expenditures

39

40 Total exempt purpose expenditures (add lines 38 and 39)

40

41 Lobbying nontaxable amount Enter the amount from the following table -

If the amount on line 40 is -

The lobbying nontaxable amount is -

Not over \$500,000

20% of the amount on line 40

Over \$500,000 but not over \$1,000,000

\$100,000 plus 15% of the excess over \$500,000

Over \$1,000,000 but not over \$1,500,000

\$175,000 plus 10% of the excess over \$1,000,000

Over \$1,500,000 but not over \$17,000,000

\$225,000 plus 5% of the excess over \$1,500,000

Over \$17,000,000

\$1,000,000

41

42 Grassroots nontaxable amount (enter 25% of line 41)

42

43 Subtract line 42 from line 36 Enter -0- if line 42 is more than line 36

43

44 Subtract line 41 from line 38 Enter -0- if line 41 is more than line 38

44

**Caution** If there is an amount on either line 43 or line 44, you must file Form 4720

### **4-Year Averaging Period Under Section 501(h)**

(Some organizations that made a section 501(h) election do not have to complete all of the five columns below See the instructions for lines 45 through 50 on page 11 of the instructions)

#### **Lobbying Expenditures During 4-Year Averaging Period**

N/A

Calendar year (or fiscal year beginning in) ▶	(a) 2001	(b) 2000	(c) 1999	(d) 1998	(e) Total
45 Lobbying nontaxable amount					0.
46 Lobbying ceiling amount (150% of line 45(e))					0.
47 Total lobbying expenditures					0.
48 Grassroots nontaxable amount					0.
49 Grassroots ceiling amount (150% of line 48(e))					0.
50 Grassroots lobbying expenditures					0.

## **Part VI-B** Lobbying Activity by Nonelecting Public Charities

(For reporting only by organizations that did not complete Part VI-A) (See page 12 of the instructions)

N/A

During the year, did the organization attempt to influence national, state or local legislation, including any attempt to influence public opinion on a legislative matter or referendum through the use of

- a Volunteers
- b Paid staff or management (Include compensation in expenses reported on lines c through h)
- c Media advertisements
- d Meetings to members, legislators, or the public
- e Publications or published or broadcast statements
- f Grants to other organizations for lobbying purposes
- g Direct contact with legislators, their staffs, government officials, or a legislative body
- h Rallies, demonstrations, seminars, conventions, speeches, lectures, or any other means
- i Total lobbying expenditures (Add lines c through h)

Yes	No	Amount
		0.

If "Yes" to any of the above, also attach a statement giving a detailed description of the lobbying activities



## Schedule A (Form 990 or 990-EZ) 2001 C/O VINE STREET TRUST COMPANY

Page 6

51 Did the reporting organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?

- (1) Cash

- #### (11) Other assets

- b Other transactions**

- (i) Sales or exchanges of assets with a noncharitable exempt organization**

- (II) Purchases of assets from a noncharitable exempt organization**

- (iii) Rental of facilities, equipment, or other assets

- (iv) Reimbursement arrangements**

- (v) Loans or loan guarantees**

- (vi) Performance of services or membership or fundraising solicitations**

- c Sharing of facilities, equipment, mailing lists, other assets, or paid employees**

- d If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting organization. If the organization received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received.

	Yes	No
51a(i)		X
a(ii)		X
b(i)		X
b(ii)		X
b(iii)		X
b(iv)		X
b(v)		X
b(vi)		X
c		X

N/A

[illegible]

- 52 a** Is the organization directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? ▶ ☐

▶ ☒ Yes ☐ No

- b. If "Yes" complete the following schedule

(a) Name of organization	(b) Type of organization	(c) Description of relationship
		JOCKEY'S GUILD, INC.
JOCKEYS' GUILD, INC.	501(C)(5)	ESTABLISHED A TRUST ON JULY 1, 1991 CALLED THE DISABLED JOCKEYS FUND. VINE STREET TRUST COMPANY IS PRESENTLY THE SOLE TRUSTEE. THE PRESIDENT OF JOCKEYS' GUILD, INC. IS A MEMBER OF A COMMITTEE THAT ADVISES THE TRUSTEE OF THE NAMES AND PARTICULAR NEEDS OF DISABLED JOCKEYS. GUILD PERSONNEL PERFORM MANAGEMENT, ACCOUNTING AND OTHER SERVICES FOR THE FUND AT NO CHARGE.

**Schedule B**  
(Form 990, 990-EZ, or  
990-PF)

Department of the Treasury  
Internal Revenue Service

**Schedule of Contributors**

Supplementary Information for  
line 1 of Form 990, 990-EZ and 990-PF (see instructions)

OMB No 1545-0047

**2001**

Name of organization

DISABLED JOCKEYS FUND  
C/O VINE STREET TRUST COMPANY

Employer identification number

Organization type (check one)

Filers of

Section

Form 990 or 990-EZ

☒ 501(c)( 3 ) (enter number) organization

☐ 4947(a)(1) nonexempt charitable trust not treated as a private foundation

☐ 527 political organization

Form 990-PF

☐ 501(c)(3) exempt private foundation

☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation

☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the General rule or a Special rule (Note Only a section 501(c)(7), (8), or (10) organization can check box(es) for both the General rule and a Special rule-see instructions)

**General Rule-**

☐ For organizations filing Form 990, 990-EZ, or 990-PF that received, during the year, \$5,000 or more (in money or property) from any one contributor (Complete Parts I and II)

**Special Rules-**

☒ For a section 501(c)(3) organization filing Form 990, or Form 990-EZ, that met the 33 1/3% support test of the regulations under sections 509(a)(1)/170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of \$5,000 or 2% of the amount on line 1 of these forms (Complete Parts I and II)

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990, or Form 990-EZ, that received from any one contributor, during the year, aggregate contributions or bequests of more than \$1,000 for use exclusively for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals (Complete Parts I, II, and III)

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990, or Form 990-EZ, that received from any one contributor, during the year, some contributions for use exclusively for religious, charitable, etc., purposes, but these contributions did not aggregate to more than \$1,000 (If this box is checked, enter here the total contributions that were received during the year for an exclusively religious, charitable, etc., purpose. Do not complete any of the Parts unless the General rule applies to this organization because it received nonexclusively religious, charitable, etc., contributions of \$5,000 or more during the year) ▶ \$ \_\_\_\_\_

**Caution** Organizations that are not covered by the General rule and/or the Special rules do not file Schedule B (Form 990, 990-EZ, or 990-PF), but they must check the box in the heading of their Form 990, Form 990-EZ, or on line 1 of their Form 990-PF, to certify that they do not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF)

Schedule B (Form 990, 990-EZ, or 990-PF) (2001)

Name of organization

DISABLED JOCKEYS FUND  
C/O VINE STREET TRUST COMPANY

Employer identification number

**Part I Contributors** (See Specific Instructions)

(a) No	(b) Name, address and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
1		\$ 42,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
2		\$ 6,150.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
3		\$ 8,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
4		\$ 53,321.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
5		\$ 38,166.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
6		\$ 6,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)

DISABLED JOCKEYS FUND C/O VINE STREET TR

FORM 990 GAIN (LOSS) FROM PUBLICLY TRADED SECURITIES STATEMENT 1

DESCRIPTION	GROSS SALES PRICE	COST OR OTHER BASIS	EXPENSE OF SALE	NET GAIN OR (LOSS)
US TREASURY NOTE	100,000.	102,562.	0.	<2,562.>
LONG-TERM CAPITAL DIVIDEND	49,962.	0.	0.	49,962.
TO FORM 990, PART I, LINE 8	149,962.	102,562.	0.	47,400.

FORM 990 OTHER CHANGES IN NET ASSETS OR FUND BALANCES STATEMENT 2

DESCRIPTION	AMOUNT
UNREALIZED GAIN ON INVESTMENTS	18,285.
TOTAL TO FORM 990, PART I, LINE 20	18,285.

FORM 990 STATEMENT OF ORGANIZATION'S PRIMARY EXEMPT PURPOSE STATEMENT 3  
PART III

EXPLANATION

THE DISABLED JOCKEYS FUND PROVIDES FINANCIAL HELP TO JOCKEYS WHO ARE PERMANENTLY AND TEMPORARILY DISABLED.

FORM 990 SPECIFIC ASSISTANCE TO INDIVIDUALS STATEMENT 4

DESCRIPTION	AMOUNT
DISTRIBUTIONS TO OR FOR JOCKEYS WHO ARE PERMANENTLY OR TEMPORARILY DISABLED	168,753.
TOTAL TO FORM 990, PART II, LINE 23	168,753.

DISABLED JOCKEYS FUND C/O VINE STREET TR

FORM 990 OTHER INVESTMENTS STATEMENT 5

DESCRIPTION	VALUATION METHOD	AMOUNT
VINE STREET TRUST	MARKET VALUE	902,936.
TOTAL TO FORM 990, PART IV, LINE 56, COLUMN B		902,936.

FORM 990 OTHER REVENUE NOT INCLUDED ON FORM 990 STATEMENT 6

DESCRIPTION	AMOUNT
2000 DEPOSIT IN TRANSIT	2,817.
NSF CONTRIBUTION CHECKS	625.
VOIDED CHECKS INCLUDED IN DEPOSITS	10,121.
TOTAL TO FORM 990, PART IV-A	13,563.

FORM 990 OTHER EXPENSES NOT INCLUDED ON FORM 990 STATEMENT 7

DESCRIPTION	AMOUNT
VOIDED CHECKS	10,121.
NSF CONTRIBUTIONS SHOWN AS EXPENSES	625.
TOTAL TO FORM 990, PART IV-B	10,746.

FORM 990 OTHER REVENUE INCLUDED ON FORM 990 STATEMENT 8

DESCRIPTION	AMOUNT
2001 DEPOSITS IN TRANSIT	125,913.
TOTAL TO FORM 990, PART IV-A	125,913.

FORM 990

LIST OF STATES RECEIVING COPY OF RETURN  
PART VI, LINE 90

STATEMENT 9

STATES

KENTUCKY, NEW YORK, CALIFORNIA, ILLINOIS, MARYLAND & FLORIDA

SCHEDULE A OTHER INCOME STATEMENT 10

DESCRIPTION	2000 AMOUNT	1999 AMOUNT	1998 AMOUNT	1997 AMOUNT
ADVISORY FEE REBATES	0.	0.	16.	0.
MISC INCOME	0.	0.	74.	0.
TOTAL TO SCHEDULE A, LINE 22	0.	0.	90.	0.

# Application for Extension of Time To File an Exempt Organization Return

1945-0  
OMB No 1545 1709

File a separate application for each return

- If you are filing for an Automatic 3-Month Extension, complete only Part I and check this box ☒
  - If you are filing for an Additional (not automatic) 3-Month Extension, complete only Part II (on page 2 of this form)
- Note Do not complete Part II unless you have already been granted an automatic 3-month extension on a previously filed Form 8868

## Part I Automatic 3-Month Extension of Time - Only submit original (no copies needed)

Note Form 990-T corporations requesting an automatic 6-month extension - check this box and complete Part I only  
All other corporations (including Form 990-C filers) must use Form 7004 to request an extension of time to file income tax returns Partnerships, REMICs and trusts must use Form 8736 to request an extension of time to file Form 1065, 1066, or 1041

Type or print	Name of Exempt Organization DISABLED JOCKEYS FUND C/O VINE STREET TRUST COMPANY	Employer identification number [REDACTED]
File by the due date for filing your return See instructions	Number, street, and room or suite no. If a P O box, see instructions 360 EAST VINE STREET	
	City, town or post office, state, and ZIP code For a foreign address, see instructions LEXINGTON, KY 40507-1514	

Check type of return to be filed (file a separate application for each return)

- |  |  |                                    |
|--|--|------------------------------------|
| <input checked="" type="checkbox"/> Form 990 | <input type="checkbox"/> Form 990-T (corporation)                | <input type="checkbox"/> Form 4720 |
| <input type="checkbox"/> Form 990 BL         | <input type="checkbox"/> Form 990 T (sec 401(a) or 408(a) trust) | <input type="checkbox"/> Form 5227 |
| <input type="checkbox"/> Form 990 EZ         | <input type="checkbox"/> Form 990 T (trust other than above)     | <input type="checkbox"/> Form 6069 |
| <input type="checkbox"/> Form 990 PF         | <input type="checkbox"/> Form 1041 A                             | <input type="checkbox"/> Form 8870 |

- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) \_\_\_\_\_ If this is for the whole group, check this box ☐ If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension will cover

- 1 I request an automatic 3 month (6 month, for 990-T corporation) extension of time until AUGUST 15, 2002  
to file the exempt organization return for the organization named above The extension is for the organization's return for  
☒ calendar year 2001 or  
☐ tax year beginning \_\_\_\_\_, and ending \_\_\_\_\_
- 2 If this tax year is for less than 12 months, check reason ☐ Initial return ☐ Final return ☐ Change in accounting period
- 3a If this application is for Form 990 BL, 990 PF, 990 T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits See instructions \$ \_\_\_\_\_
- b If this application is for Form 990 PF or 990 T, enter any refundable credits and estimated tax payments made Include any prior year overpayment allowed as a credit \$ \_\_\_\_\_
- c Balance Due Subtract line 3b from line 3a Include your payment with this form, or, if required, deposit with FTD coupon or, if required, by using EFTPS (Electronic Federal Tax Payment System) See instructions \$ \_\_\_\_\_ N/A

## Signature and Verification

Under penalties of perjury I declare that I have examined this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete and that I am authorized to prepare this form

Signature Kathy Reynolds Title CPA Date 5-13-02  
LHA For Paperwork Reduction Act Notice, see instruction Form 8868 (12-2000)